For Internal Use Only Sec File No. 9-

OMB APPROVAL OMB Number: 3235-0504

Expires: August 31, 2010 Estimated average burden hours per response.....3.60

Submit 1 Original and 9 Copies

UNITED STATES

UNITED STATES

Washington, D.C. 20549

Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

## READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Part I **Initial Listing Report** 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: Nasdag Stock Market LLC (traded pursuant to unlisted trading privileges) 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Open End Management Investment Company 3. Class of New Derivative Securities Product: **Exchange Traded Fund** 4. Name of Underlying Instrument: **Actively Managed Portfolio of Securities** 18002975 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Not Applicable 6. Ticker Symbol(s) of New Derivative Securities Product: 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: OTC 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 2 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable): N/A Execution Part II The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards. Name of Official Responsible for Form: William Slattery Title: Vice President Securities and Exchange Commission Telephone Number: Trading and Markets +1 301 9788088 Manual Signature of Official Responsible for Form: JUL 272018 U com Securities Exchange Act of 1934 Date: July 24, 2018 Act RECEIVED SEC 2449 (6-01) Rule JUL 27 2018

Availability: